

01/23/02

10055106-012302

01-25-02

A/BOX 950

PTO/SB/05 (2/98)

Approved for use through 09/30/2000. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Please type a plus sign (+) inside this box →



UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No.

PC10970AGLK

First Named Inventor or Application Identifier

Lee Harland

Title

Novel Polypeptide

Express Mail Label No.

EL912062320US

 01/23/02
 10055106
 PTO/SB/05

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ *Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
2. ☒ Specification [Total Pages 19]
(preferred arrangement set forth below)
- Descriptive title of the invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R&D
 - Reference in Microfiche Appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 11.3) [Total sheets 2]
4. ☒ Oath or Declaration [Total pages 2]
- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR §1.63(d))
(for continuation/divisional with Box 17 completed)
[Note Box 5 below]
- i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§1.63(d)(2) and 1.33(b).

5. ☐ Incorporation By Reference (usable if Box 4b is checked)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

ADDRESS TO:

 Assistant Commissioner for Patents
 Box Patent Application
 Washington, DC 20231

6. ☐ Microfiche Computer Program (Appendix)
7. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☒ Computer Readable Copy
- b. ☒ Paper Copy (identical to computer copy)
- c. ☒ Statement verifying identity of above copies
- ACCOMPANYING APPLICATION PARTS**
8. ☒ Assignment Papers (cover sheet & document(s))
9. ☐ 37 C.F.R. §3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
12. ☒ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
14. ☐ *Small Entity ☐ Statement filed in prior application, Status still proper and desired (PTO/SB/09-12)
15. ☒ Certified Copy of Priority Document(s)
(if foreign priority is claimed)

*NOTE FOR ITEMS 1 & 14: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.38).

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation☐ Divisional☐ Continuation-in-part (CIP)

of prior application No.: 1

Prior application information:

Examiner

Group/Art Unit:

18. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

Name Gregg C. Benson

Address Pfizer Inc.

Address Patent Department, MS 4159, Eastern Point Road

City Groton

State

CT

Zip Code 06340

Country United States Of America

Telephone

1-(860)-441-4901

Fax

1-(860)-441-5221

NAME (Print/type)

Gabriel L. Kleiman

Registration No. (Attorney/Agent)

40,681

Signature

[Signature]

Date

1/23/2002

UTILITY TRANSMITTAL PTO SB 05, 9/99, (1/1)

EXPRESS MAIL NO. EL912062320US



13951 U.S. PTO

FEE TRANSMITTAL

Patent fees are subject to annual revision on October 1.
These are the fees effective October 1, 2001.

Small Entity payments must be supported by a small entity statement,
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.

See 37 C.F.R. §§ 1.27 and 1.28.

Total Amount of Payment **(\$3,450.00)**

OMB 0651-0032 Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

PTO/SB/17(2/99)

Approved for use through 06/30/2003.

Complete if Known

| | |
|----------------------|----------------|
| Application Number | To be assigned |
| Filing Date | Herewith |
| First Named Inventor | Lee Harland |
| Examiner Name | To be assigned |
| Group/Art Unit | To be assigned |
| Attorney Docket No. | PC10970A GLK |

METHOD OF PAYMENT (check one)

1. ☒ The commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number **16-1445**

Deposit Account Name **Pfizer Inc.**

☒ Charge Any Additional 37 Fee Required Under C.F.R. §§ 1.1.6 and 1.17. ☐ Charge the Issue Fee Set in 37 C.F.R. § 1.1.6 at the Mailing of the Notice of Allowance.

2. ☐ Payment Enclosed:
☐ Check ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description | Fee Paid |
|--------------------------|--------------------------|--------------------------|--------------------------|------------------------|----------|
| 101 | 740 | 201 | 370 | Utility filing fee | 740.00 |
| 106 | 330 | 206 | 165 | Design filing fee | |
| 107 | 510 | 207 | 255 | Plant filing fee | |
| 108 | 740 | 208 | 370 | Reissue filing fee | |
| 114 | 160 | 214 | 80 | Provisional filing fee | |

SUBTOTAL (1) **(\$)** 740.00

2. EXTRA CLAIM FEES

| Total Claims | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 43 | 23 | 18 | 414.00 |
| Independent Claims | 27 | 84 | 2,016.00 |
| Multiple Dependent | | 280 | 280.00 |

** or number previously paid, if greater; For Reissues, see below

| Large Entity Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description |
|--------------------------|--------------------------|--------------------------|--------------------------|-----------------------------------------------------------|
| 103 | 18 | 203 | 9 | Claims in excess of 20 |
| 102 | 84 | 202 | 42 | Independent claims in excess of 3 |
| 104 | 280 | 204 | 140 | Multiple dependent claim, if not paid |
| 109 | 84 | 209 | 42 | **Reissue independent claims over original patent |
| 110 | 18 | 210 | 9 | **Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) **(\$)** 2710.00

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Large Entity Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description | Fee Paid |
|--------------------------|--------------------------|--------------------------|--------------------------|----------------------------------------------------------------------------|----------|
| 105 | 130 | 205 | 65 | Surcharge - late fee or oath | |
| 127 | 50 | 227 | 25 | Surcharge-late provisional filing fee or cover sheet | |
| 139 | 130 | 139 | 130 | Non-English specification | |
| 147 | 2,520 | 147 | 2,520 | For filing a request for reexamination | |
| 112 | 920* | 112 | 920* | Requesting publication of SIR prior to Examiner action | |
| 113 | 1,840* | 113 | 1,840* | Requesting publication of SIR after Examiner action | |
| 115 | 110 | 215 | 55 | Extension for reply within first month | |
| 116 | 400 | 216 | 200 | Extension for reply within second month | |
| 117 | 920 | 217 | 460 | Extension for reply within third month | |
| 118 | 1,440 | 218 | 720 | Extension for reply within fourth month | |
| 128 | 1,960 | 228 | 980 | Extension for reply within fifth month | |
| 119 | 320 | 219 | 160 | Notice of Appeal | |
| 120 | 320 | 220 | 160 | Filing a brief in support of an appeal | |
| 121 | 280 | 221 | 140 | Request for oral hearing | |
| 138 | 1,510 | 138 | 1,510 | Petition to institute a public use proceeding | |
| 140 | 110 | 240 | 55 | Petition to revive - unavoidable | |
| 141 | 1,280 | 241 | 640 | Petition to revive - unintentional | |
| 142 | 1,280 | 242 | 640 | Utility issue fee (or reissue) | |
| 143 | 460 | 243 | 230 | Design issue fee | |
| 144 | 620 | 244 | 310 | Plant issue fee | |
| 122 | 130 | 122 | 130 | Petitions to the Commissioner | |
| 123 | 50 | 123 | 50 | Petitions related to provisional applications | |
| 126 | 180 | 126 | 180 | Submission of information Disclosure Statement | |
| 581 | 40 | 581 | 40 | Recording each patent assignment per property (times number of properties) | |
| 146 | 740 | 246 | 370 | Filing a submission after final rejection (37 CFR 1.129(a)) | |
| 149 | 740 | 249 | 370 | For each additional invention to be examined (37 CFR 1.129(b)) | |
| Other Fee (specify) | | | | | |
| Other Fee (specify) | | | | | |

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) **(\$)** 0

SUBMITTED BY

Type or Printed Name **Gabriel L. Kleiman**
Signature *Gabriel L. Kleiman*

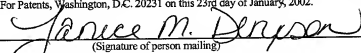
Date **1/23/2002**

Complete (if Applicable)

Reg. Number **40,681**
Deposit Account **16-1445**
User ID

I hereby certify that this correspondence is being deposited with the United States Postal Service as express mail in an envelope addressed to:
Box Patent Application, Commissioner For Patents, Washington, D.C. 20231 on this 23rd day of January, 2002.

By


(Signature of person mailing)
Janice M. Denison
(Typed or printed name of person)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: **Lee Harland**

APPLICATION NO.: **To be assigned**

: Examiner: **To be assigned**

FILING DATE: **Herewith**

: Group Art Unit: **To be assigned**

TITLE: **Novel Polypeptide**

Box Patent Application
Commissioner for Patents
Washington, D.C. 20231

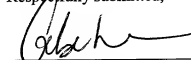
STATEMENT REGARDING SUBMISSION
OF SEQUENCE LISTING UNDER 37 C.F.R. §1.821(f)

I hereby state that the information recorded in computer readable form is identical to
the written sequence listing.

Date:

1/23/2002

Respectfully submitted,



Gabriel L. Kleiman
Attorney for Applicant(s)
Reg. No. 40,681

Pfizer Inc.
Patent Department, MS 4159
Eastern Point Road
Groton, Connecticut 06340
(860) 715-0041

EXPRESS MAIL NO. E191201232002

10055106-012302